

#3  
PATENT

I hereby certify that on the date specified below, this correspondence is being deposited with the United States Postal Service as first-class mail in an envelope addressed to Box Missing Parts, Commissioner of Patents, Washington, DC 20231.

May 13, 2002 Mary G. Painter  
Date Mary G. Painter

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant	: Gurtej S. Sandhu	Attorney Docket No.:	500042.02
Serial No.	: 10/035,828	Group Art Unit	: 3723
Filed	: December 28, 2001	Examiner	: not yet assigned
Title	: METHOD AND APPARATUS FOR ENDPOINTING MECHANICAL AND CHEMICAL-MECHANICAL POLISHING OF SUBSTRATES		

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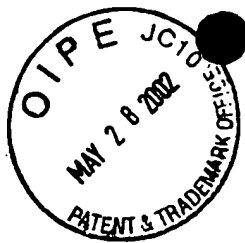
**RESPONSE TO NOTICE TO FILE MISSING PARTS OF REISSUE APPLICATION**

Box Missing Parts  
Commissioner of Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts dated March 11, 2002, please find enclosed the following fully executed documents:

Fee Transmittal Sheet;  
General Authorization;  
Copy of Notice to File Missing Parts of Reissue Application;  
Copy of Response to Notice to File Missing Parts of Reissue Application;  
Reissue Declaration;



Offer to Surrender the Original Patent (with original patent);

Assent of Assignee; and

Certificate under 37 C.F.R. § 3.73(b).

Also enclosed is an Information Disclosure Statement along with Form PTO-

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1449.

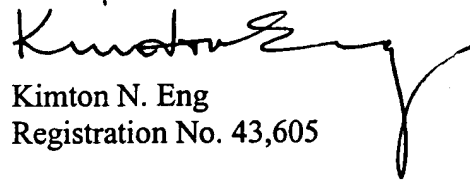
The fees have been calculated as follows:

REISSUE APPLICATION FEE DETERMINATION RECORD									
Claims as Filed - Part I									
Claims in Patent	FOR	Number Filed in Reissue Application	(3) Number Extra	SMALL ENTITY		OR	OTHER THAN A SMALL ENTITY		
				RATE	FEE		RATE	FEE	
(A) 13	Total Claims (37 CFR 1.16(j))	(B) 49	**** 29	x 9	\$		x 18	\$ 522	
(C) 7	Independent Claims (37 CFR 1.16(i))	(D) 10	* 3	x 42	\$		x 84	\$ 252	
Basic Filing Fee (37 CFR 1.16(h))				+ 370	\$		+ 740	\$ 740	
Claims as Amended - Part 2									
	(1) Claims Remaining After Amendment		(2) Highest Number Previously Paid For	(3) Extra Claims Presented	SMALL ENTITY		OR	OTHER THAN A SMALL ENTITY	
					RATE	FEE		RATE	FEE
Total Claims (37 CFR 1.16(j))	*** 49	MINUS	20	** 29	x 9	\$		x 18	\$ 522
Indep. (37 CFR 1.16(i))	*** 10	MINUS	7	***** 3	x 42	\$		x 84	\$ 252
ADDITIONAL CLAIM FEE (37 CFR 1.16(i)(j))					\$			\$ 774	
FILING FEE FROM PART I (37 CFR 1.16(h))					\$			+ \$ 740	
MISSING PARTS SURCHARGE (37 CFR 1.16(e))					\$			+ \$ 130	
TOTAL REISSUE APPLICATION FEE					\$			= \$ 1,644	

- \* If the entry in (D) is less than the entry in (C), write "0" in column 3.
- \*\* If the "Highest Number of Total Claims Previously Paid For" is less than 20, write "20" in this space.
- \*\*\* After any cancellation of claims.
- \*\*\*\* If "A" is greater than 20, use (B-A); if "A" is 20 or less, use (B-20).
- \*\*\*\*\* "Highest Number of Independent Claims Previously Paid For" or Number of Independent Claims in Patent (C).

Enclosed is a check in the amount of \$1,644 for the requisite fees. The Commissioner is hereby authorized to charge any additional filing fees or to credit any overpayment to Deposit Account No. 50-1266. A duplicate copy of this response is enclosed.

Respectfully submitted,  
DORSEY & WHITNEY LLP

  
Kimton N. Eng  
Registration No. 43,605

KNE:mp

Enclosures:

- Postcard
- Check
- Fee Transmittal Sheet (+ copy)
- General Authorization Under 37 C.F.R. § 1.136(a)(3)
- Copy of Notice to File Missing Parts
- Copy of this Response
- Reissue Declaration
- Offer to Surrender the Original Patent (with Original Patent)
- Assent of Assignee
- Certificate under 37 C.F.R. § 3.73(b)
- Information Disclosure Statement
- Form PTO-1449

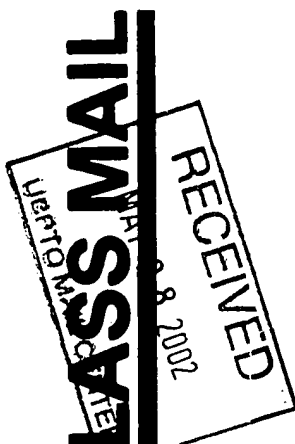
1420 Fifth Avenue, Suite 3400  
Seattle, WA 98101  
Tel: (206) 903-8800  
Fax: (206) 903-8820

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H METER 701662



**FIRST CLASS MAIL**

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MAY 13 2002

DORSEY & WHITNEY LLP

US BANK BUILDING CENTER  
1420 5TH AVENUE  
SUITE 3400  
SEATTLE, WASHINGTON 98101

500042.02

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Commissioner for Patents  
U.S. PATENT AND TRADEMARK OFFICE  
Washington, DC 20231

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/035,828	12/28/2001	Gurtej S. Sandhu	500042.02

Dorsey & Whitney  
1420 Fifth Avenue, Suite 3400  
Seattle, WA 98101



CONFIRMATION NO. 1741

## FORMALITIES LETTER



\*OC000000007611252\*

07/02/2002 SDIRETA1 00000067 10035828

01 FC:108 740.00 OP  
02 FC:110 522.00 OP  
03 FC:109 252.00 OP

Date Mailed: 03/11/2002

## NOTICE TO FILE MISSING PARTS OF REISSUE APPLICATION

*Filing Date Granted*

An application number and filing date have been accorded to this reissue application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$774.
  - \$522 for 29 total claims over 20.
  - \$252 for 3 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1644.**
- Assignee's statement under 37 CFR 3.73(b) establishing ownership of the patent is missing. 37 CFR 1.172 requires that all assignees consenting to the reissue application establish their ownership interest in the patent by filing in the reissue application a statement in accordance with 37 CFR 3.73(b).

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Adjustment date: 07/02/2002 SDIRETA1

05/29/2002 SSESHE1 00000024 10035828

01 FC:101 -740.00 OP  
02 FC:103 -522.00 OP  
03 FC:102 -252.00 OP

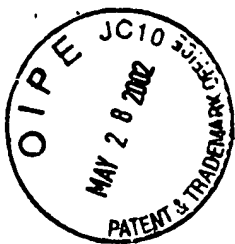
*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

 05/29/2002 SSESHE1 00000024 10035828  
01 FC:101 740.00 OP  
02 FC:103 522.00 OP  
03 FC:102 252.00 OP  
04 FC:105 130.00 OP



EXPRESS MAIL NO. EL 872037744 US

Serial No. 10/035,828

**CERTIFICATE UNDER 37 C.F.R. § 3.73(b)**

Applicant : Gurtej S. Sandhu  
Patent No. : 6,007,408  
Issued : December 28, 1999  
Reissue Filed : December 28, 2001  
For : METHOD AND APPARATUS FOR ENDPOINTING MECHANICAL AND  
CHEMICAL-MECHANICAL POLISHING OF SUBSTRATES

MICRON TECHNOLOGY, INC.  
(Name of Assignee)

a Corporation  
(Type of Assignee, e.g., corporation,  
partnership, government agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

- A. ☒ An assignment from inventors of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel 8781 Frame 0755 (copy enclosed).
- B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignees as shown below:
1. From: \_\_\_\_\_ To: \_\_\_\_\_  
A copy is attached.
  2. From: \_\_\_\_\_ To: \_\_\_\_\_  
A copy is attached.
  3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_  
Frame \_\_\_\_\_ or for which a copy thereof is attached.
- ☐ Additional documents in the chain of title are listed on a supplemental sheet.
- ☐ Copies of assignments or other documents in the chain of title are attached.

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The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

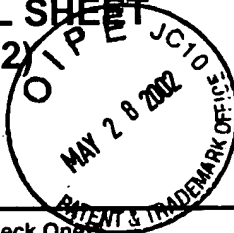
Date: 2-7-2002

Name: Michael L. Lynch

Title: Chief Patent Counsel

Signature: [Signature]

# **FEE TRANSMITTAL SHEET** (FOR FY 2002)



Complete if Known

Application No. 10/035,828  
Filing Date December 28, 2001  
First Named Inventor Gurtej S. Sandhu  
Group Art Unit 3723  
Examiner not yet assigned  
Atty. Docket Number 500042.02

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## **METHOD OF PAYMENT (Check One)**

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. ☐ Check Enclosed

## **FEE CALCULATION**

### **1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	<input type="checkbox"/> Utility Filing Fee	
106	330	206	165	<input type="checkbox"/> Design Filing Fee	
108	740	208	370	<input checked="" type="checkbox"/> Reissue Filing Fee	
114	160	214	80	<input type="checkbox"/> Provisional Filing Fee	
<b>Subtotal (1)</b>					<b>\$ 740</b>

### **2. EXTRA CLAIM FEES**

Current Claims	Prior	Extra	Fee	Fee Paid
Total 49	- 20	= 29	x \$ 18	= \$ 522
Ind. 10	- 7	= 3	x \$ 84	= \$ 252
Multiple Dependent Claims			x \$	= \$
<b>Subtotal (2)</b>				<b>\$ 774</b>

Large Entity		Small Entity		Fee Description	
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent Claim	
109	84	209	42	Reissue independent claims over original patent	
110	18	210	9	Reissue claims in excess of 20 and over original patent	

## **FEE CALCULATION (Continued)**

### **3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	F paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - Late filing fee or oath	\$ 130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	\$
139	130	139	130	Non-English specification	\$
147	2,520	147	2,520	For Filing a Request for Reexamination	\$
195	300	198	300	Publication (early or Republication)	\$
115	110	215	55	Extension for reply within first month	\$
116	400	216	200	Extension for reply within 2 <sup>nd</sup> month	\$
117	920	217	460	Extension for reply within 3 <sup>rd</sup> month	\$
118	1,440	218	720	Extension for reply within 4 <sup>th</sup> month	\$
128	1,960	280	980	Extension for reply within 5 <sup>th</sup> month	\$
120	320	220	160	Filing a brief in support of an appeal	\$
121	280	270	140	Request for oral hearing	\$
148	110	248	55	Terminal Disclaimer Fee	\$
140	110	240	55	Petition to revive - unavoidable	\$
141	1,280	241	640	Petition to revive - unintentional	\$
142	1,280	242	640	Utility/Reissue issue fee (+ advance copies)	\$
143	460	243	230	Design issue fee (+ advance copies)	\$
122	130	122	130	Petitions to the Commissioner	\$
123	50	123	50	Petitions related to provisional applications	\$
126	180	126	180	Submission of IDS	\$
581	40	81	40	Recording each patent assignment per property (times number of properties)	\$
179	740	279	370	Request for Continued Examination (RCE)	\$
Other fee (specify)					\$
<b>Subtotal (3)</b>					<b>\$ 130</b>

**Total Amount of Payment: \$ 1,644**

Submitted by:

Name: Kimton N. Eng

Reg. No.: 43,605

Telephone: (206) 903-8800

Signature: *Kimton N. Eng*

Date: 5/13/02